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NASA Procedural Requirements

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Request Notification of Change

 (NASA Only)

Subject: NASA Privacy Procedural Requirements

Responsible Office: Office of the Chief Information Officer

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Appendix F. Guidance for Privacy Impact Assessments

F.1 System Changes Requiring PIAs

As discussed in Chapter 3, changes to systems that may create new privacy risks and thus require a new PIA include, but are not limited to:

- a. Conversions of paper-based records to electronic systems.
- b. The application of functions to an existing information collection that change anonymous information into non-anonymous IIF.
- c. New uses of an existing IT system, including the application of new technologies that significantly change how IIF is managed in the system.
- d. Adoption or alteration of business processes so that databases holding IIF are merged, centralized, matched with other databases, or otherwise significantly manipulated.
- e. New application of user-authenticating technology (e.g., password, digital certificate, biometric elements) to an electronic information system that is accessed by members of the public.
- f. Systematic incorporation into existing information systems databases of IIF that are purchased or obtained from commercial or public sources. However, mere querying of such a source on an ad hoc basis using existing technology does not trigger the PIA requirement.
- g. NASA cooperation with another agency or agencies on shared functions involving significant new uses or exchanges of IIF, such as crosscutting E Government initiatives. In such cases, the lead agency has the responsibility for preparing the PIA.
- h. Alteration of a business process that results in significant new uses, disclosures of information, or incorporation into the system of additional items of IIF.
- i. Addition of new IIF to a collection resulting in increased risks to personal property (e.g., addition of health or financial information).

F.2 Circumstances of Unchanged Privacy Issues Requiring No PIA

As discussed in Chapter 3, examples of circumstances of unchanged privacy issues for systems or Web sites such that a PIA is not required include, but are not limited to:

- a. Government-run Web sites, IT systems, or collections of information to the extent that these do not collect or maintain IIF concerning members of the public, excluding NASA contractors and partners.

- b. Government-run public Web sites where the user is given the option of contacting the site operator for the limited purposes of providing feedback (e.g., questions or comments) or obtaining additional information.
- c. National security systems that are defined by 40 U.S.C. 11103 as exempt from the definition of information technology.
- d. Minor changes to a system or collection that do not create new privacy risks.

F.3 How to Conduct a PIA

F.3.1 If a PIA is required, as evidenced by a completed IPTA, the system owner must access and complete the PIA Worksheet via the NASA OCIO Web site.

F.3.2 Specific features of the information system will be reviewed and documented during the conduct of a PIA.

F.3.3 In completing the PIA, a number of factors concerning the content, nature, and use of information that is to be collected must be described, including:

- a. Explanation of how and why that information is being collected (e.g., to determine eligibility).
- b. The intended use of the information (e.g., to verify existing data).
- c. Specifics concerning with whom the information will be shared (e.g., another agency for a specified programmatic purpose).
- d. The opportunities individuals have to decline to provide information (e.g., where providing information is voluntary) or to consent to particular uses of the information (other than required or authorized uses), together with information on how individuals can grant consent.
- e. Whether it contains Federal records or organizational vital records.
- f. Whether the records contained by the system are covered under an approved disposition schedule.
- g. Whether a SOR is being created for the system under the Privacy Act, 5 U.S.C. 552a.

F.3.4 A description must be provided as to how the information will be secured via administrative and technological controls.

F.3.5 The PIA summary must include not only a summary of the completed worksheet, but also any decisions NASA made regarding the IT system or application as a result of performing the PIA.

F.4 Coordinating Completion of a PIA with PRA Requirements

F.4.1 When undertaking new electronic information collections as defined under the PRA, the system owner may submit the PIA and make it publicly available as part of the Supporting Statement of the request to OMB for approval of a new agency information collection. System owners must work through the PRA Officer in the NASA OCIO to request OMB approval to collect information under the PRA.

F.4.2 If submitting a Joint Information Collection Request (ICR) and PIA, all elements of the PIA must be addressed by the system owner and identifiable within the structure of the ICR Supporting Statement to the ICR, including:

- a. A description of the information to be collected.
- b. An explanation of how the information will be shared and for what purpose.
- c. An account of the impact the proposed collection will have on privacy.
- d. A description of how the information will be secured and whether a SOR is being created under the Privacy Act.

F.4.3 The PRA Officer in the NASA OCIO should be consulted for additional information on the PRA requirements and compliance criteria.

F.4.4 System owners are not required to conduct a new PIA when simply processing PRA information collection renewal requests. Rather, in accordance with section 3.2 of this document, the need for a PIA must be separately considered when amending an ICR to collect information that significantly differs in character from the original collection.

F.5 Coordinating PIA Completion with Preparing a SORN

If the information in the system constitutes a Privacy Act SOR for which a new SORN is required, systems owners:

- a. May conduct a PIA concurrently with the SOR Notice required by the Privacy Act, if required, since the PIA and

the SOR overlap in content (e.g., the categories of records in the system, the uses of the records, the policies and practices for handling, etc.).

b. May request that the Privacy Act Officer make the PIA publicly available in the Federal Register along with the Privacy Act SOR notice.

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